



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : **PFIFFNER, Kimberly Ann., et al.**
SERIAL NO : **09/918,091**
FILED : **July 30, 2001**
TITLE: **METHOD, SYSTEM AND APPARATUS FOR ENTERPRISE
CUSTOMER CONTACT MANAGEMENT**

Grp./A.U. : **2152**
Conf. No. : **2045**
Docket No. : **P04763US0**

**PATRICK C. FRAIZER STATEMENT OF FACTS IN SUPPORT OF FILING ON
BEHALF OF NONSIGNING INVENTOR (37 C.F.R. § 1.47)**

Assistant Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, Patrick C. Fraizer, hereby declare the following:

1. I am Vice President and Senior International Counsel, Principal Financial Group, Des Moines, Iowa 50392-0001.
2. On or about May 25, 2001, I sent the Declaration, Power of Attorney, Assignment, application and drawings of the above-identified application to Kelm Brueschke at 1692 N.W. 8th Street, Apt. #4, Clive, Iowa 50325.
3. On or after June 25, 2001, I received a letter from James L. Sayre, attorney for Kelm Bruschke. A copy of the letter is attached as Exhibit 1. This attached letter states that Mr. Brueschke does not assert any proprietary interest in the above-identified patent

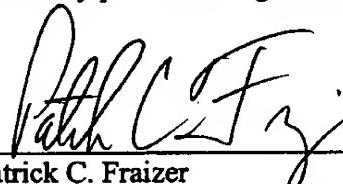
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application, and does not dispute the proprietary interest of Principal Financial Group, but he refuses to sign without "meaningful compensation."

4. Principal Financial Group has no contractual obligation or other duty to compensate Mr. Brueschke to cooperate in the prosecution of the patent application.

5. On June 26, 2001, I shared Exhibit 1 with Jeffrey D. Harty, of Zarley, McKee, Thomte, Voorhees & Sease, PLC, who provides outside patent counsel.

The undersigned further declares that all statements made herein of her own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.



Patrick C. Fraizer
Principal Financial Group, Inc.
711 High Street
Des Moines, Iowa 50392

Date 11/01/01



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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**JEFFREY D. HARTY STATEMENT OF FACTS IN SUPPORT OF FILING
ON BEHALF OF NONSIGNING INVENTOR (37 CFR § 1.47)**

Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, Jeffrey D. Harty, hereby declare the following:

1. I, Jeffrey D. Harty, am a member of the firm of Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
2. I am an attorney licensed to practice in Iowa and licensed to practice before the United States Patent and Trademark Office, Registration No. 40,639.
3. Under my direction, the above named patent application was filed via express mail on July 30, 2001, for which a Notice to File Missing Parts of Nonprovisional Application was received, requesting the applicant to furnish a properly signed oath or a declaration in compliance with 37 C.F.R. § 1.136(a).
4. On March 27, 2001, I mailed the above-identified application to Patrick C. Frazier, Vice President and Sr. International Counsel for Principal Financial Group.

5. On or about May 15, 2001, I received the Declaration, Power of Attorney, and Assignment for each of the inventors with the exception of Kelm Brueschke. These were forwarded from Patrick C. Frazier, Vice President and Sr. International Counsel for Principal Financial Group.

6. I have reviewed a letter from Mr. Brueschke's attorney, James Sayre, addressed to Patrick Frazier expressing that Kelm Brueschke is unwilling to sign the patent application without consideration. A true and accurate copy of that letter is attached to my declaration as Exhibit 1.

7. I spoke with James Sayre, attorney for Mr. Brueschke on or about July 26, 2001, concerning Mr. Brueschke's refusal to sign the above-identified patent application. Mr. Brueschke's counsel unequivocally indicated that Mr. Brueschke refuses to sign.

8. The last known address of the non-signing inventor is as follows:

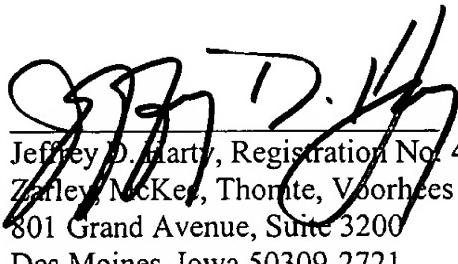
Kelm Brueschke
1692 N.W. 8th Street,
Apt. #4
Clive, Iowa 50325

9. The address for the attorney of the non-signing inventor is as follows:

James L. Sayre, P.C.
Attorneys At Law
Suite 101
Lake Pointe Office Building
13375 University Avenue
Clive, Iowa 50325

10. Any disclosure of otherwise confidential and/or privileged conversations made with or on behalf of the Principal Financial Group are only for the limited purposes of supporting Principal Financial Group's petition and in no way waives any other privilege.

The undersigned further declares that all statements made herein of his own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.


Jeffrey D. Hartv, Registration No. 40,639
Zarley, McKee, Thorntt, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11/6/01



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**ADDED PAGE TO COMBINED DECLARATION
AND POWER OF ATTORNEY FOR SIGNATURE BY JOINT INVENTOR(S)
ON BEHALF OF NONSIGNING INVENTOR(S) WHO REFUSE(S)
TO SIGN OR CANNOT BE REACHED (37 CFR 1.47(a))**

Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, KIMBERLY ANN PFIFFNER, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Dr. Genping Yang, nonsigning inventor, who refuses to sign.

X Country of citizenship of nonsigning inventor

USA **RECEIVED**

Last known address of nonsigning inventor

JAN 25 2002

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

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Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.



KIMBERLY ANN PEIFFNER signing on behalf of nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11/2/2001



PATENT

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TO SIGN OR CANNOT BE REACHED (37 CFR 1.47(a))**

Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, STACEY ALLEN FRET, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor USA

Last known address of nonsigning inventor

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

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Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Stacey A. Frett
STACEY ALLEN FRETT signing on behalf of nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11/11/01



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TO SIGN OR CANNOT BE REACHED (37 CFR 1.47(a))**

Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, ELIZABETH JUEL HAMER, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor USA

Last known address of nonsigning inventor

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

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Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Elizabeth Juel Hamer

ELIZABETH JUEL HAMER signing on behalf of nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11/1/2001



PATENT

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TO SIGN OR CANNOT BE REACHED (37 CFR 1.47(a))**

Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, ANDREW THOMAS KREIDER, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor

USA

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Last known address of nonsigning inventor

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

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The undersigned further declares that all statements made herein of his own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Andy Kreider
ANDREW THOMAS KREIDER signing
on behalf of nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

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Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, DOUGLAS JOHN RANTS, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor USA

Last known address of nonsigning inventor

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

The undersigned further declares that all statements made herein of his own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

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DOUGLAS JOHN RANTS signing on behalf of nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11-1-2001



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Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, MATTHEW WEINECKE, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor USA

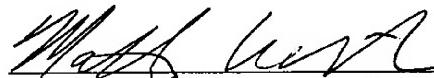
Last known address of nonsigning inventor

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

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MATTHEW WEINECKE signing on behalf of nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11/01/01



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Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, SHELLEY LYNNE WINCHEL, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor USA

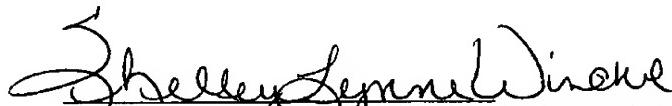
Last known address of nonsigning inventor

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SHELLEY LYNNE WINCHEL signing on behalf of
nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

Date 11-5-2001



PATENT

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Director of Patents and Trademarks
Washington, D.C. 20231

Dear Assistant Director:

I, KURT DAVID ZIMMERMANN, am an above named joint inventor and have signed this declaration on my own behalf and also signed this declaration under 37 CFR 1.47(a) on behalf of the nonsigning joint inventor, particulars for whom are:

Kelm Brueschke, nonsigning inventor, who refuses to sign.

Country of citizenship of nonsigning inventor

USA

Last known address of nonsigning inventor

Kelm Brueschke
1692 N. W. 86th Street
Apt. 4
Clive, Iowa 50325

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KURT DAVID ZIMMERMANN signing on behalf of
nonsigning
Zarley, McKee, Thomte, Voorhees & Sease, P.L.C.
801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721

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